Patent
Docket No. 284502000900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Guodong ZHOU et al.

Serial No.: 10/585,235

Filing Date: (Intn'l) December 31, 2003

For: SYSTEM FOR RECOGNIZING AND
      CLASSIFYING NAMES ENTITIES

Examiner: Not Yet Assigned

Group Art Unit: Not Yet Assigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO/SB/08a/b. Copies of non-patent literature are submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

☐   With the application; accordingly, no fee or separate requirements are required.

☐   Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. However, if applicable, a certification under 37 C.F.R. § 1.97 (e)(1) has been provided.

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☒   **Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required. However, if applicable, a certification under 37 C.F.R. § 1.97 (e)(1) has been provided.**

☐   After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.

        ☐   A fee is required. A check in the amount of __ is enclosed.

        ☐   A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

        ☐   A Certification under 37 C.F.R. § 1.97(e) is provided above; accordingly; no fee is believed to be due.

☐   After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.

        ☐   A Certification under 37 C.F.R. § 1.97(e) is provided above and a check in the amount of __ is enclosed.

        ☐   A Certification under 37 C.F.R. § 1.97(e) is provided above and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.)

       Applicants would appreciate the Examiner initialing and returning the Form PTO/SB/08a/b, indicating that the information has been considered and made of record herein.

       The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

       In the unlikely event that the transmittal form is separated from this document and the Patent and Trademark Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. § 1.17 (p)) is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petition and/or other

fees due in connection with the filing of this document to **Deposit Account No. 03-1952**

referencing **284502000900**.

Dated: February _13_ , 2007

Respectfully submitted,

By _Michael R. Ward_

Michael R. Ward
   Registration No.: 38,651
MORRISON & FOERSTER LLP
425 Market Street
San Francisco, California 94105-2482
(415) 268-6237

Substitute for form 1449/PTO	Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT *(Use as many sheets as necessary)*	Application Number	10/585,235
	Filing Date	December 31, 2003
	First Named Inventor	Guodong ZHOU
	Art Unit	Not Yet Assigned
	Examiner Name	Not Yet Assigned
Sheet 1 of 1	Attorney Docket Number	284502000900

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number — Number-Kind Code[2] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1.	US-6,052,682	04-18-2000	Miller et al.	
	2.	US-6,311,152	10-30-2001	Bai et al.	
	3.	US-20030191625	10-09-2003	Gorin et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document — Country Code[3]-Number[4]-Kind Code[5] *(if known)*	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]

*EXAMINER: Initial if information considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. [1] Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
	4.	Katz, S.M. (1987) "Estimation of Probabilities from Sparse Data for the Language Model component of a Speech Recognizer," IEEE Trans. On Acoustics, Speech and Signal Processing, 35(3): 400-4001.	
	5.	Aberdeen J. et al. (1995). "MITRE: Description of the Alembic system used for MUC-6." MUC-6, Columbia, Maryland, pp. 141-155.	
	6.	Eric Brill (1995). "Transform-based error-driven learning and natural language processing: A case study in part-of-speech tagging." Computational Linguistics 21(4):543-565.	
	7.	Bennett S.W., Aone C. and Lovell C. (1996). "Learning tag multilingual texts through observation," EMNLP, pp.109-116.	
	8.	Miller et al. (1998). "Algorithms that learn to extract information. BBN: Description of the SIFT system as used for MUC-7." MUC-7. Fairfax, Virginia, 17 pages.	
	9.	Borthwick, A. et al. (1998). "NYU: Descriptionof the MENE named entity system as used in MUC-7," MUC-7, 6 pages.	
	10.	Bikel D.M. et al. (1999). "An algorithm that learns what's in a name," Machine Learning (Special Issue on NLP), 20 pages. .	
	11.	Borthwick A. (1999). "A maximum entropy approach to named entity recognition." Ph.D. Thesis. New York University, 105 pages.	
	12.	Yu Shihong et al. (1998). "Description of the Kent Ridge Digital Labs system used for MUC-7" MUC-7. Fairfax, Virginia, 9 pages.	
	13.	Chieu et al. (2002). "Named Entity Recognition: A Maximum Entropy Approach Using Global Information." COLING2002. Taiwan, 7 pages.	
	14.	Zhou, G. et al. (07-2002). "Named Entity Recognition using an HMM-based Chunk Tagger," Proc. 40th Annual Meeting of the Association for Computation Linguistics, pp. 473-580.	
	15.	Saito, K. et al. (2003) "Multi-Language Named Entity Recognition System based on HMM," Proc. ACL 2003 Workshop on Multilingual and Mixed-language Named Entity Recognition pp. 41-48.	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
[1] Applicant's unique citation designation number (optional). [2] Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	

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